

11-30-01 PET  
JC05 Rec'd PCT/PTO 2 8 NOV 2001

FORM PTO-1390  
(REV. 9-2001)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

59338-B-PCT-US/JPW/FHB

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5

Not Yet Known 09/980145

INTERNATIONAL APPLICATION NO.  
PCT/US00/14654

INTERNATIONAL FILING DATE  
26 May 2000

PRIORITY DATE CLAIMED  
28 May 1999

**TITLE OF INVENTION**

DNA ENCODING SNORF33 RECEPTOR

**APPLICANT(S) FOR DO/EO/US**


SYNAPTIC PHARMACEUTICAL CORPORATION

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau). (courtesy copy)
  - b. ☐ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (unsigned)
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ **Other items or information:** Courtesy copy of Notice Informing Applicant of the Communication of the International Application to the Designated Offices, PCT Request, PCT Demand, Published Amended Claims, Written Opinion, International Preliminary Examination Report, Statement in Accordance with 37 C.F.R. 1.821(f), and Small Entity Declaration from U.S. parent application, 1 loose set of formal drawings, and an Express Mail Certificate of Mailing bearing Label No. EK 146 828 374 US dated November 28, 2001

U.S. APPLICATION NO. (if known) <b>09/980145</b> Not Yet Known		INTERNATIONAL APPLICATION NO. <b>PCT/US00/14654</b>		ATTORNEY'S DOCKET NUMBER <b>59338-B-PCT-US/IPW</b>																										
21. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... <b>\$1040.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$890.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$740.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$710.00</b> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b> <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>CALCULATIONS PTO USE ONLY</b>																										
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				<b>\$ 710.00</b>																										
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">CLAIMS</th> <th style="width: 20%;">NUMBER FILED</th> <th style="width: 20%;">NUMBER EXTRA</th> <th style="width: 20%;">RATE</th> <th style="width: 20%;">\$</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>34 - 20 =</td> <td>14</td> <td>x \$18.00</td> <td>\$ 102.00</td> </tr> <tr> <td>Independent claims</td> <td>1 - 3 =</td> <td>0</td> <td>x \$84.00</td> <td>\$ 0.00</td> </tr> <tr> <td colspan="4">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+ \$280.00</td> </tr> <tr> <td colspan="4"><b>TOTAL OF ABOVE CALCULATIONS =</b></td> <td><b>\$ 1092.00</b></td> </tr> </tbody> </table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	Total claims	34 - 20 =	14	x \$18.00	\$ 102.00	Independent claims	1 - 3 =	0	x \$84.00	\$ 0.00	MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$280.00	<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$ 1092.00</b>	<b>\$ 0.00</b>	
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<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$ 1092.00</b>																										
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				<b>\$ 546.00</b>																										
<b>SUBTOTAL =</b>				<b>\$ 546.00</b>																										
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				<b>\$ 0.00</b>																										
<b>TOTAL NATIONAL FEE =</b>				<b>\$ 546.00</b>																										
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				<b>\$ 0.00</b>																										
<b>TOTAL FEES ENCLOSED =</b>				<b>\$ 546.00</b>																										
				Amount to be refunded: \$																										
				charged: \$																										
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>546.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>03-3125</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.																														
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.																														
SEND ALL CORRESPONDENCE TO: John P. White, Esq. Reg. No. 28,678 Cooper & Dunahm LLP 1185 Avenue of the Americas New York, NY 10036																														
				SIGNATURE  John P. White NAME 28,678 REGISTRATION NUMBER																										

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JCO3 Res'd PCT/PTO 2 8 NOV 2001

Dkt. 59338-B-PCT-US/JPW/FHB

IN THE UNITED STATES DESIGNATED ELECTED OFFICE (DO/EO/US)


Applicants : Beth E. Borowsky, et al.  
International  
Application No. : PCT/US00/14654  
Filed : 26 May 2000  
For : DNA ENCODING SNORF33 RECEPTOR

1185 Avenue Of The Americas  
New York, New York 10036  
November 28, 2001


Assistant Commissioner for Patents  
P.O. Box 2327  
Arlington, VA 22202  
Attn: DO/EO/US

**EXPRESS MAIL CERTIFICATE OF MAILING**  
**FOR ABOVE-IDENTIFIED APPLICATION**

"Express Mail" mailing label number: EK 146 828 374 US  
Date of Deposit: November 28, 2001  
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents and Trademarks, Washington, D.C. 20231.

  
Printed Name: Samuel Khabs

Respectfully submitted,

  
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